C1. CHAPTER 1

GENERAL INFORMATION

C1.1. INTRODUCTION

The effective management of reports requires an organized and continuous effort to improve the quality and economy of reporting by providing managers with needed information at the right time, in the best format, and at the lowest possible cost. This Manual specifically addresses reports management procedures for the Department of Defense.

C1.2. REISSUANCE AND PURPOSE

This Manual:

C1.2.1. Implements policy and updates responsibilities and procedures for the preparation, coordination, approval, implementation and internal review of:

C1.2.1.1. DoD Public Information Requirements (Chapter 3);

C1.2.1.2. DoD Internal Information Requirements (Chapter 4); and

C1.2.1.3. Interagency Information Requirements (Chapter 5), and

C1.2.2. Provides general information regarding the additional recordkeeping and review requirements for Congressional information requirements (Chapter 6) and surveys as they relate to DoD public, internal and interagency information requirements.

C1.3. SCOPE

C1.3.1. This Manual covers the procedures for the establishment and licensing of new information requirements and the revision or cancellation of existing requirements. These information requirements include statistical and attitude/opinion surveys, Congressional, public, interagency, and DoD internal information requirements.

C1.3.2. All information and reporting systems as well as all techniques, both electronic and manual, are included under the provisions of this Manual unless specifically exempted.

C1.3.3.   The reports management function includes the reports, forms, surveys, magnetic tapes, disks, and other media of internal agency systems or procedures as well as the reporting systems themselves.

C1.3.4.   This Manual does not address the release of information requested from DoD Components by individuals or private businesses. DoD personnel should follow the guidance for public release of Defense information in accordance with DoD Directive 5230.9, "Clearance of DoD Information for Public Release" (reference (a)).

C1.4.   POLICY

It is DoD policy under DoD 8910.1, "Management and Control of Information Requirements" (reference (b)) to:

C1.4.1.   Ensure that sufficient information is available to achieve military effectiveness and management efficiency;

C1.4.2.   Minimize and control the burden associated with the collection and reporting of information;

C1.4.3.   Ensure that information requirements are valid, accurate, and essential to the mission of the user's organization;

C1.4.4.   Avoid both duplication and unnecessary generation of data;

C1.4.5.   Emphasize statistical sampling techniques and use of information technology as approaches for minimizing reporting workloads;

C1.4.6.   Ensure that information needs are clearly identified and that reports to be generated by the system represent cost-effective use of resources in the development and operational life cycle of an automated information system (AIS);

C1.4.7.   Minimize, account for, and control information collected from the public (individuals, businesses, and other private institutions) and State and local governments in accordance with Title 5, Code of Federal Regulations (CFR), Part 1320 (reference (c));

C1.4.8.   Ensure that optimum effectiveness and economy in the development of information requirements is achieved;

C1.4.9.   Subject each new or revised information requirement to a cost analysis;

C1.4.10. Coordinate information requirements that involve the collection of personal information on individuals consistent with the provisions of DoD 5400.11-R (reference (d));

C1.4.11. Approve and symbolize DoD internal information requirements; i.e., assigned a report control symbol (RCS), at the Component level generating the requirement;

C1.4.12. Submit requests for forms used to collect information in accordance with DoD 7750.7-M (reference (e));

C1.4.13. Evaluate and screen each item of data in the information requirement against data in existing information collections to determine whether such information can satisfy the requirement;

C1.4.14. Standardize data used to support DoD operations and decision-making or in an AIS that requires horizontal and/or vertical sharing of data in accordance with DoD 8320.1-M (reference (f));

C1.4.15. Approve and symbolize, on a case-by-case basis, special, one-time, high priority, or time-urgent information requirements without being subjected to in-depth review and analysis, provided a statement of urgency is included with the request for approval;

C1.4.16. Refuse to honor information requirements that have not been properly approved and symbolized;

C1.4.17. Establish provisions for setting annual goals, consistent with critical mission needs, to reduce the number or frequency of reports; and

C1.4.18. Ensure that ongoing information requirements are assessed for validity, necessity, and adequacy no less frequently than every three years.

C1.5. OBJECTIVES

C1.5.1. The Primary Objectives of the DoD Reports Management Program are to:

C1.5.1.1. Identify the information needs of managers at every organizational level;

C1.5.1.2. Collect, transmit, process, and store information through the most economical use of personnel, funds, and equipment;

C1.5.1.3.   Prevent the imposition of invalid, inefficient, or unnecessary reports;

C1.5.1.4.   Coordinate reports management with related information resources management activities such as forms management and data standardization;

C1.5.1.5.   Subject reports and reporting systems to a continuous, objective review for quality and economy of reporting; and

C1.5.1.6.   Provide necessary security for the information to the degree warranted by its sensitivity.

C1.5.2.   The DoD Reports Management Program:

C1.5.2.1.   Reduces voluminous data accumulation by eliminating unnecessary and duplicate reports;

C1.5.2.2.   Provides a systematic means for improving the flow and content of information;

C1.5.2.3.   Provides a means for measuring the value of information against the cost of collecting it;

C1.5.2.4.   Improves reporting methods and techniques by applying information processing technology; and

C1.5.2.5.   Reduces agency costs.

C1.6.   RESPONSIBILITIES

C1.6.1.   The Assistant Secretary of Defense for Command, Control, Communications, and Intelligence (ASD(C3I)), as the Department of Defense Chief Information Officer (CIO), is assigned overall policy for the DoD Reports Management Program and implements:

C1.6.1.1.   Chapter 35 of Title 44, United States Code (reference (g)), as amended by Section 5125(a) of Public Law 104-106, "National Defense Authorization Act for Fiscal Year 1996," Division E, "Clinger-Cohen Act" (formerly "Information Technology Management Reform Act of 1996") (reference (h)), consistent with the guidance prescribed by the Office of Management and Budget;

C1.6.1.2.   41 CFR 101-11.103(e)(2) (reference (i)); and

C1.6.1.3.   41 CFR 101-11.204 (reference (j)).

C1.6.2. The <u>Office of the Under Secretary of Defense for
Personnel and Readiness (OUSD(P&R))</u> shall, before submission to
the Director, Washington Headquarters Services (WHS), approve all
attitude and opinion surveys requiring the participation of
personnel in multiple DoD Components, as required by DoD
Instruction 1100.13 (reference (k)). The DoD Components, other
than OSD, have their own implementing guidance for their internal
reports. See Chapter 4, paragraph C4.5., "DoD Component
Procedures."

C1.6.3. The <u>Directorate for Information Operations and
Reports (DIOR), Washington Headquarters Services (WHS)</u>, shall be
responsible for the overall operation of the DoD Reports
Management Program, to include:

C1.6.3.1. Symbolizing OSD internal information
requirements;

C1.6.3.2. Processing public and interagency information
requirements;

C1.6.3.3. Publishing this Manual;

C1.6.3.4. Conducting DoD-wide termination reviews of
Congressional information requirements to include recurring
reports, certifications and notifications; and

C1.6.3.5. Executing the Information Collection Budget
(ICB).

C1.6.4. The <u>Heads of the DoD Components</u> shall:

C1.6.4.1. Not respond to unlicensed information
requirements that are not exempt;

C1.6.4.2. Establish an information requirements control
activity under the CIO and to assign an Information Management
Control Officer (IMCO) to serve as the key point of contact;

C1.6.4.3. Submit requests for information collections
from the public or other Federal Agencies to WHS/DIOR;

C1.6.4.4. Coordinate their survey requirements with
responding DoD Component survey control offices;

C1.6.4.5. Ensure that users justify new information
requirements before submission for approval;

C1.6.4.6. Maintain cost information on each approved
information requirement;

C1.6.4.7. Obtain WHS/DIOR approval when information is collected from one or more DoD Components other than the requesting DoD Component;

C1.6.4.8. Establish goals for the reduction in the number or frequency of their internally prescribed reports; and

C1.6.4.9. Ensure that users assess their ongoing information requirements no less frequently than every three years.

C1.6.5. The Heads of the OSD Components shall:

C1.6.5.1. Not respond to unlicensed information requirements that are not exempt;

C1.6.5.2. Assign an IMCO to serve as the key point of contact for their respective functional areas;

C1.6.5.3. Submit their information requirement requests through the OSD Component IMCO to WHS/DIOR;

C1.6.5.4. Establish and implement standards and procedures for initiating, identifying, reviewing, approving, preparing, distributing, and discontinuing internal reporting requirements;

C1.6.5.5. Ensure that Directives and Instructions containing information requirements are updated in accordance with DoD 5025.1-M (reference (l));

C1.6.5.6. Provide for the periodic review of approved reports for need, adequacy, design, economy of preparation and use;

C1.6.5.7. Submit their survey information requirements to the OUSD(P&R) for approval prior to submitting their requests to WHS/DIOR;

C1.6.5.8. Coordinate their survey requirements with responding DoD Component survey control offices;

C1.6.5.9. Assess their ongoing information requirements no less frequently than every three years; and

C1.6.5.10. Submit their respective information collection budgets to WHS/DIOR.